

PLEASE RETURN BY:

OMB No. 3145-0027: Approval Expires 12/31/2001

**NOTICE** — Your report to the Census Bureau is **confidential** by law (title 13, U.S. Code).

FORM **RD-1A**  
(1-6-2000)

U.S. DEPARTMENT OF COMMERCE  
Economics and Statistics Administration  
U.S. CENSUS BUREAU

## SURVEY OF INDUSTRIAL RESEARCH AND DEVELOPMENT DURING 1999

The instructions and definitions on this form are not complete. Please read the enclosed instruction sheet before completing this form.

### RETURN TO



**U.S. CENSUS BUREAU**  
1201 East 10th Street  
Jeffersonville, IN 47132-0001

### MANDATORY REPORTING REQUIREMENTS

Data supplied in items 2A and B and in item 3.A.3, columns 1 and 3 for 1999 on this form will satisfy the mandatory reporting requirements (title 13, U.S. Code).

FROM THE DIRECTOR  
U.S. CENSUS BUREAU

We have enclosed your company's report form and instructions for the 1999 "Survey of Industrial Research and Development" (R&D). **Please read the definition of R&D on page 2 of the form** and review Item 1. If your company does not conduct R&D, please call the Touchtone Data Entry system to report on 1-800-851-2014. **If your company conducted R&D in 1999, please review the instructions, complete the form, and return it within 30 days.** Federal law requires your response to four items identified on the form. Your voluntary response to all other items is needed to assure useful results.

This survey provides information for examining R&D tax credits. Some businesses are able to use R&D tax credits to reduce their Federal tax burden. The data assist public officials in allocating research funding by state, which may well benefit companies like yours. Analysts also use the results to compare R&D spending in this country with other countries to ensure that U.S. businesses are not at a competitive disadvantage.

Information you report should cover the domestic operations of your consolidated enterprise for calendar year 1999. We recognize that providing this information is a burden, and we have worked hard to minimize it. For example, if you do not have book records for any item, **you may provide carefully prepared estimates.** The law that authorizes this survey (Title 13, United States Code) requires that we keep your report in full confidence. Only sworn Census Bureau employees will see your information, and they will use it only for statistical purposes.

We conduct this survey with National Science Foundation (NSF) support. We have enclosed a letter from the Director of the NSF encouraging your response to the survey. If you have any questions, please call my staff on 301-457-1339. Thank you in advance for your cooperation.

Sincerely,

Kenneth Prewitt

Enclosures

PLEASE OPEN AND BEGIN THE SURVEY WITH ITEM 1.

## RESEARCH AND DEVELOPMENT

R&D includes basic and applied research in the sciences and engineering. It also includes design and development of new products and processes and enhancement of existing products and processes.

R&D includes activities carried on by persons trained, either formally or by experience, in the physical sciences such as chemistry and physics, the biological sciences such as medicine, and engineering and computer science. R&D includes these activities if the purpose is to do one or more of the following things:

1. Pursue a planned search for **new knowledge**, whether or not the search has reference to a specific application. (Basic Research)
2. Apply **existing knowledge** to problems involved in the **creation of a new product or process** including work required to evaluate possible uses. (Applied Research)

3. Apply **existing knowledge** to problems involved in the **improvement of a present product or process**. (Development)

Research and development includes the activities described above whether assigned to separate R&D organizational units of the company or carried out by company laboratories and technical groups not part of an R&D organization. Reporting the R&D activities of such latter groups may require the use of estimates for some of your responses.

Activities to be **excluded** from R&D are as follows: research in social sciences or psychology, routine product testing, geological and geophysical exploration activities and technical services.

*See instructions for more detail.*

### Item 1 – CHECK FOR RESEARCH AND DEVELOPMENT

Mark (X) the appropriate box.

- 201 ☐ Company had R&D in 1999 – *Complete form, enter zeros where applicable, and return this form.*  
 203 ☐ Company does not conduct R&D – *Call TDE to report (1-800-851-2014).*

**NOTE** – After reviewing Item 1 if you need further assistance please call (301) 457-1339.

### Item 2 – RECEIPTS, EMPLOYMENT AND NUMBER OF SCIENTISTS AND ENGINEERS FOR COMPANY

- A. Sales, operating receipts and revenues from all domestic operations of the company, net of returns and allowances.**  
 (Report in thousands of dollars)

**INCLUDE** receipts for sales of products and services provided to other companies, individuals, U.S. Government agencies, and foreign countries from all domestic operations of your company.

1999			
Bil.	Mil.	Thou.	Dol.
102			
\$			000

- B. Report** domestic company employment in all activities during the pay period which includes the 12th of March 1999.  
 (Item 1 of I.R.S. Form 941, if Form 941 was filed for the entire company.)

1999	
Number	
112	

- C. Report** the full-time equivalent number of R&D scientists and engineers employed in January 2000.  
 For employees whose activities are not solely devoted to research and development, report the proportion of their time that is devoted to research and development. *(See instructions for examples)*

January 2000	
Number	
502	

**Item 3 – COSTS INCURRED FOR RESEARCH AND DEVELOPMENT IN 1999**

		Source of funds								Total ((1) + (2))			
		Federal				Company and other							
		(1)				(2)				(3)			
		Bil.	Mil.	Thou.	Dol.	Bil.	Mil.	Thou.	Dol.	Bil.	Mil.	Thou.	Dol.
<b>A. Performed within the company</b>		304				305				306			
1. Basic research		\$			000	\$			000	\$			000
2. Applied research and development	a. Applied research	314			000	315			000	316			000
	b. Development	324			000	325			000	326			000
	c. Total (Sum of lines a and b) →	334			000	335			000	336			000
3. TOTAL (Sum of lines 1 and 2c) →		344			000	345			000	346			000
<b>B. Outside the company – Federal funds and company funds for research and development performed by others outside the company within the United States (Exclude from 3A.3 above)</b>		354			000	355			000	356			000
<b>C. Foreign – Company funds for research and development performed by foreign subsidiaries or other organizations outside the United States (Exclude from 3A.3 and 3B above)</b>						365			000				
<b>D. TOTAL – Company and other funds, except Federal (This line represents company sponsored research and development with the exception of "other funds.") (Sum of 3A.3 (column 2), B, and C) →</b>						375			000				
<b>Item 4 – COMPANY AND OTHER FUNDS, EXCEPT FEDERAL, FOR RESEARCH AND DEVELOPMENT PERFORMED WITHIN THE COMPANY BUDGETED FOR THE YEAR 2000</b>						Bil.	Mil.	Thou.	Dol.				
						401							
						\$			000				

**Item 5A – COVERAGE AND OPERATIONAL STATUS**

Are research and development costs for the entire consolidated domestic enterprise, including subsidiaries, reported on this form?

☐ Yes    ☐ No – *Please explain in remarks below.*

Was this company owned or controlled by another company on December 31, 1999?

☐ Yes – *Complete 5B.* Date acquired →

Month	Year

☐ No

601

**Item 5B – NEW OWNER INFORMATION** (See instructions for Coverage Review)

602 Name		603 Address	
604 City		605 State	606 ZIP Code

**CHECK ITEM**

Please complete the check list below **BEFORE** returning this questionnaire. By checking these items you will reduce the likelihood of our calling you to resolve an error or inconsistency.

**In item 2A:**

1. Sales is reported in **thousands** of dollars .....

Yes    No

☐    ☐

**In item 2B:**

2. Your answer describes the number of **employees**, NOT company payroll .....

☐    ☐

**In item 3:**

3. Verify that **Federal funds** (column 1) plus **Company funds** (column 2) equals **Total funds** (column 3) for:

Basic research (3A.1), applied research (3A.2a), development (3A.2b), total applied research and development (3A.2c), and total costs within the company (3A.3) .....

☐    ☐

**IF THE ANSWER TO ANY OF THE ABOVE CHECKS IS "NO", PLEASE MAKE THE NECESSARY CORRECTIONS IN THE APPROPRIATE ITEM(S) OR PROVIDE AN EXPLANATION IN THE REMARKS SECTION.**

**Item 6 – CERTIFICATION** – This report is substantially accurate and has been prepared in accordance with instructions.

Name of person to contact regarding this report		Area code	Number	Extension
Signature of authorized official		Title		701 Date

801 Remarks (If you wish to correspond by E-mail, please place your E-mail address here.)